

California Emergency Management Agency



Fiscal Year 2012 Operation Stonegarden Grant Program (OPSG)

***California Supplement
Federal Program Guidance and Application Kit***

April 12, 2012

Secretary's Message

The California Emergency Management Agency (Cal EMA) serves to enhance public safety and disaster preparedness in California through its strong leadership, collaborative efforts, and meaningful partnerships. The goal of Cal EMA's efforts on a daily basis is to protect lives and property by effectively preparing for, preventing, responding to, and recovering from all threats, crimes, hazards, and emergencies.

As a direct result of our efforts in working together with our federal partners at the U.S. Department of Homeland Security and the Federal Emergency Management Agency, we have made our communities safer and better prepared for when a disaster strikes. To further our progress, I am pleased to present the *FY 2012 Operation Stonegarden (OPSG) – State Supplemental Guidance*.

For Fiscal Year 2012, Cal EMA will continue to advocate for the advancement in the "Whole Community" approach towards security and emergency management efforts. Also, the FY 2012 OPSG Program will serve an important role in the implementation efforts associated with the Presidential Policy Directive 8 (PPD-8) by directly supporting the development and sustainment of core capabilities, which are essential for the execution of each of the five mission areas outlined in the National Preparedness Goal.

With your dedication and hard work, we have made significant progress and have achieved a number of objectives that continue to make California a national leader in emergency management and homeland security. The dedicated staff at Cal EMA will continue to work collaboratively with you to advance our combined efforts to benefit our communities and I encourage you to contact them for guidance and advice throughout the duration of the grant.



Mark S. Ghilarducci
Secretary

STATE OF CALIFORNIA

Edmund G. Brown Jr., Governor

California Emergency Management Agency

Mark Ghilarducci, Secretary

Office of Grants Management

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Contact Information

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Agency (SAA)** ****California Emergency Management Agency (Cal EMA)**
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Infrastructure Protection Grants Section
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**SAA Program
Point of
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**** Please send in all required documentation to the address above**

Section 1 – Application Resources

Federal Program Guidance and Updates

The U.S. Department of Homeland Security (US DHS)/Federal Emergency Management Agency (FEMA) published the *Fiscal Year (FY) 2012 Homeland Security Grant Program(HSGP) Funding Opportunity Announcement (FOA)* on February 17, 2012.

The *Funding Opportunity Announcement* may be obtained at:
http://www.fema.gov/pdf/government/grant/2012/fy12_hsgp_foa.pdf

Operational Orders

The template for the Operations Orders can be obtained at:
http://www.fema.gov/pdf/government/grant/2012/fy12_hsgp_operations.pdf
Operational Orders are due to Cal EMA no later than April 19, 2012 8:59 pm PST.

Press Release

The US DHS issued a Press Release announcing the *FY 2012 HSGP on February 17, 2012.*

The Press Release can be obtained at:
<http://www.dhs.gov/ynews/releases/20120217-dhs-fy12-grant-guidance.shtm>

Frequently Asked Questions

The US DHS issued a Frequently Asked Questions (FAQ) Sheet on the *FY 2012 HSGP on February 17, 2012.*

The FAQ Sheet can be obtained at:
http://www.fema.gov/pdf/government/grant/2012/fy12_hsgp_faq.pdf

California Supplement

The *California Supplement* to the Federal Program Guidance is intended to complement, rather than replace, the federal guidance published by the US DHS National Preparedness Directorate. It is recommended that applicants read thoroughly the federal guidance before referring to the State Supplement. Funding availability, eligible applicants, allowable costs and other key information is described in the federal guidance and application kit.

Section 2 – Timeline

FY 2012 OPSG Sub-Grantee Timeline	US DHS announcement of FY 2012 OPSG	February 17, 2012
	Deadline to submit Operational Orders to Cal EMA	April 19, 2012
	US DHS Award (no later than)	September 30, 2012
	Grant Performance Period Begins	October 1, 2012*
	Sub-grantee applications due to Cal EMA	November 1, 2012*
	Sub-grantee performance period ends	June 30, 2014*
	Final requests for reimbursement due to Cal EMA	June 30, 2014*

*** Date approximate depending on US DHS award date**

Section 3 - Overview

Funding Availability The FY 2012 OPSG makes funds available to support U.S. Border states and territories, local units of government at the county level and Federally-recognized tribal governments bordering Mexico, and also, territories with international water borders. **The FY 2012 Homeland Security Grant Program (HSGP) will incorporate OPSG similarly to State Homeland Security Grant Program (SHSP), and Urban Area Security Initiative (UASI).**

Grant Performance Period Twenty-Four (24) months from date of grant award to Cal EMA. However, sub-grantees are required to submit all cash requests to Cal EMA within (21) months from the date of award, or ninety (90) days prior to Federal deadline.

Review Criteria /Evaluation Process The FY 2012 OPSG will use risk-based prioritization using CBP Sector-specific border risk to include, but not limited to: threat, vulnerability, miles of border, and other border-specific “law enforcement intelligence.” Each applicant’s final funding allocation will be determined by using a combination of the results of the risk analysis and feasibility of the Operations Orders.

- Operations Orders developed at the county level should be inclusive of city, county, tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, with the emphasis on the **Executive Summary, Mission, and Budget**. This information will be used to evaluate the anticipated feasibility, need, and impact of the Operations Orders (see pages 68-72 (Appendix E) of the FY 2012 Federal HSGP Funding Opportunity Announcement). **Operational Orders are due to Cal EMA no later than April 19, 2012 8:59 pm PST.**
- Applications will be reviewed by the Cal EMA and CBP/BP Sector Headquarters for completeness and adherence to programmatic guidelines as well as operational content prior to submission to FEMA.
- Cal EMA and CBP/BP OPSG Program leads will ensure a coordinated approach to maintain application and operations order pre-submission accountability.
- **For counties or territories near an international water border seeking participation, please contact the P.O.C. for U.S. Border Patrol San Diego Sector (pg. 4).**

Review Criteria /Evaluation Process cont.	Following the review by State and CBP/BP Sector Headquarters, each Operations Order will be forwarded for review by a Federal review panel comprised of evaluators from components within FEMA and CBP/BP Headquarters level evaluators.
Award Date	FEMA will evaluate and act on Operations Orders as quickly as possible following the close of the application period. Awards will be made on or before <u>September 30, 2012.</u>
Eligible Applicant	Cal EMA is the State Administrative Agency (SAA) for California and is the eligible grant applicant in the FY 2012 OPSG process.
Eligible Sub-Grantees	Eligible grantees under the FY 2012 OPSG are local units of government at the county level and Federally-recognized tribal governments bordering Mexico, and also, territories with international water borders. Cal EMA is the only entity eligible to apply to FEMA for FY 2012 OPSG funds on behalf of the county or similar level of government and Federally-recognized tribal governments. Eligible territories without a county or similar level of government structure are authorized to accept applications on behalf of the alternative unit of local government. Cal EMA in this situation must advise FEMA in writing as to their intent. <u>Note: Not all applicants are guaranteed to receive funding under the FY 2012 OPSG.</u>
Total Amount of Funding Available	There is \$46,600,000 available, nation-wide, of FY2012 OPSG funding.

Section 4 – Sub-grant Application Process

Operations Order	Eligible border Counties must submit Operational Orders to Cal EMA by April 19, 2012, 8:59 pm PST as shown on the timeline on page six. Please include the Budget within the Operations Orders.
Operational Order Submittal	Information regarding instructions on how sub-grantees will submit Operational Orders to Cal EMA will be released in the near future.
Operational Guidance	As OPSG continues to evolve, several proven practices have been recognized, centered on short-term, periodic operations in support of overarching near and long term goals. A multi-step process will be established via the area Integrated Planning Team, including a campaign plan and a cycle of operations to ensure that Stonegarden participants maintain synergism and have a coordinated and measurable impact on reducing border-security risk. Standardized, accurate, and timely reporting will focus on: monitoring program performance; assessing productivity and results; determining the level of integration and information sharing; evaluation of money spent and operations conducted; and developing best practices for future operations. In FY 2012, OPSG has standardized the form used to capture key data sets. In addition, nationwide standards for submitting the reporting forms will be implemented. The overarching operational cycle involves three stages; application, concept of operations, and one or more tactical operational periods, which are all developed by the Integrated Planning Team. For more detailed information regarding FY2012 OPSG Operational Guidance, please refer to pages 73-79 (Appendix F) of the FY2012 Federal HSGP Funding Opportunity Announcement.

Eligible Costs Operational Overtime (no more than 50 percent of the total award)
Operational costs associated with law enforcement activities, in support of border law enforcement agencies for increased border security enhancement. Per the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412), all grantees are allowed to utilize up to 50 percent of FY 2012 OPSG funding for personnel related costs, which include overtime activities. At the request of the SAA, the Administrator may grant a waiver of the 50 percent limitation.

Fuel Cost and/or Mileage Reimbursement

Travel and Per Diem, and Lodging

Travel and per diem costs associated with the deployment/redeployment of personnel to border areas and for travel associated with law enforcement entities assisting other local jurisdictions in law enforcement activities. Travel costs must be in accordance with applicable travel regulations. In addition, costs to support up to six (6) month deployment of law enforcement personnel to critical Southwest Border locations to support operational activities.

Part Time Personnel

FY 2012 OPSG funds may be used to pay additional current part time law enforcement personnel salaries in order to bring them to full time status.

Vehicle/Equipment Rentals

Vehicle/Equipment Maintenance

Fuel Cost and/or Mileage Reimbursement

There is no cap for reimbursement of operational activities

Activate reserve, state, local, and tribal law enforcement personnel

Backfill

Costs associated with backfill for personnel supporting operational activities.

Law Enforcement Readiness

Use of FY 2012 OPSG funds may be used to increase operational, material, and technological readiness of State, local, Tribal, and territorial law enforcement agencies

Management and Administration (M&A)

A maximum of up to five percent (5%) of OPSG funds awarded may be retained by the State, and any funds retained are to be used solely for management and administration purposes associated with the OPSG award. States may pass through a portion of the State M&A allocation to local sub-grantees to support local M&A activities.

Eligible Costs Cont.	Sub-grantees may also retain a maximum of up to five percent (5%) of funding passed through by the State solely for management and administration purposes associated with the OPSG award. For additional information on M&A, refer to Information Bulletin 365 located at http://www.fema.gov/government/grant/bulletins/index.shtm#1
Performance Bonds	Sub-grantees must obtain a performance bond for any equipment item over \$250,000 or any vehicle, aircraft, or watercraft, financed with homeland security funds. The performance bond ensures delivery of the item within 90 days of the sub-grantee performance period.
Non-Eligible Costs	<p><u>Unallowable Costs</u></p> <p>Unallowable costs include costs associated with staffing and general IT computing equipment, and hardware such as personal computers, faxes, copy machines, modems, etc. The FY 2012 OPSG is not intended as a hiring program. Applying funds toward hiring full-time or permanent sworn public safety officers is also unallowable. FY 2012 OPSG funding shall not supplant inherent routine patrols and law enforcement operations or activities not directly related to providing enhanced coordination between local and Federal law enforcement agencies. Finally, construction and/or renovation costs are prohibited under FY 2012 OPSG.</p>

Section 5 - Post DHS Award – Sub-grant Application

Sub-grant Application Components

Successful applicants will be required to submit applications to Cal EMA prior to final award of grant funds.

A completed application will include all of the following components.

- **Completed Cal EMA Financial Management Forms Workbook**
 - Submitted to Cal EMA (Mailed) – refer to pg. 4 for mailing address
 - Application Cover Sheet
 - Grant Management Roster
 - Project Ledger
 - Project Description
 - Equipment Inventory Ledger
 - Training Roster
 - Authorized Agent form with appropriate signatures
- **Governing Body Resolution – Mailed**
- **Signed Original Grant Assurances – Mailed**

The **Financial Management Forms Workbook** can be found at <http://www.calema.ca.gov/GrantsProcessing/Pages/Financial-Management-Forms-Workbook.aspx>

Sub-grant Application Approval

The sub-grantee will receive written notice of Cal EMA approval of the sub-grant application.

Post Award Modifications Post award budget, scope and time modifications must be requested using the **Cal EMA Financial Management Forms Workbook**, by the sub-grantee's Authorized Agent, and submitted to the sub-grantee's Program Representative in the Infrastructure Protection Grant Unit of Cal EMA. Upon approval the sub-grantee will be instructed to make the required changes in the National Preparedness Directorate's Grants Reporting Tool (GRT) <https://www.reporting.odp.dhs.gov> .

The sub-grantee may implement the modifications, and incur associated expenses, **after** receiving **written final approval** of the modification from Cal EMA.

NOTE: Modifications can be requested once per quarter during the grant performance period. Failure to submit modification requests, and receive written approval prior to expenditure, could result in a reduction or disallowance of that part of the grant.

Sub-grantee Performance Reports Sub-grantees must prepare and submit performance reports to Cal EMA for the duration of the grant performance period, or until all grant activities are completed and the grant is formally closed. Sub-grantees must complete a Biannual Strategy Implementation Report using the Grant Reporting Tool (GRT), at <https://www.reporting.odp.dhs.gov> and will also be required to submit additional information and data requested by Cal EMA.

Monitoring Sub-grantee Performance Cal EMA is currently conducting a program of sub-grantee monitoring. The monitoring will be conducted on the sub-grantees administrative, programmatic and fiscal management of the grant(s).

These reviews may include, but are not limited to:

- Eligibility of expenditures
- Comparing actual sub-grantee activities to those approved in the sub-grant application and subsequent modifications, if any.
- Ensuring that advances have been disbursed in accordance with applicable guidelines.
- Confirming compliance with:
 - Grant Assurances.
 - Information provided on performance reports and payment requests.
 - Needs and threat assessments and strategies.

Suspension or Termination Cal EMA may suspend or terminate sub-grant funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to expend funds in a timely manner consistent with the grant milestones, guidance and assurances.
- Failing to comply with the requirements or statutory objectives of federal or state law.
- Failing to make satisfactory progress toward the goals or objectives set forth in the sub-grant application.
- Failing to follow grant agreement requirements or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failing to submit required reports.
- Filing a false certification in the application or other report or document.
- Failing to adequately manage, monitor or direct the grant funding activities of their sub-recipients.

Before taking action, Cal EMA will provide the sub-grantee reasonable notice of intent to impose corrective measures and will make every effort to resolve the problem informally.

Closeout Cal EMA will close a sub-grantee award after:

- Receiving a sub-grantee Performance Report indicating that all approved work has been completed, and all funds have been disbursed;
- Completing a review to confirm the accuracy of reported information; and
- Reconciling actual costs to awards, modifications and payments.

If the closeout review and reconciliation indicates that the sub-grantee:

- Is owed additional funds, Cal EMA will send the final payment automatically to the sub-grantee.
- Did not use all funds received, Cal EMA will issue an Invoice or Grant Modification letter to recover unused funds.

In the **Grant Closeout letter**, Cal EMA will notify the sub-grantee of the start of the record retention period for all programmatic and financial grant related records.

NOTE: Failure to maintain all grant records for the required retention period could result in a reduction of eligible grant activities, and an invoice to return costs associated with the unsupported activities.

**Payment
Request
Process**

To request reimbursement payment of FY 2012 OPSG funds, complete a payment request form using the Cal EMA Financial Management Forms Workbook and return it to the appropriate Program Representative in the Infrastructure Protection Grants Section at Cal EMA.

Cal EMA Financial Management Forms Workbook

<http://www.calema.ca.gov/GrantsProcessing/Pages/Financial-Management-Forms-Workbook.aspx>

NOTE: Payments can only be made if the sub-grantee has an approved Financial Management Forms Workbook, valid Governing Body Resolution, and valid Grant Assurance form.

**Financial
Management
and Reporting
Workshops**

Cal EMA conducts regular workshops on grants management, financial management and grant reporting. Please contact your Cal EMA Program Representative for more information.